

# **Schedule 36-3**

## **HISTORICAL SOCIETY LIBRARY ARCHIVES DIVISION**

August 1, 2005

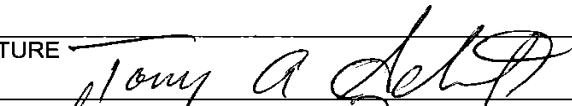
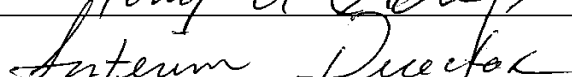
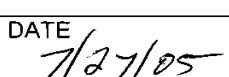
Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

<b>TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA</b>	SCHEDULE <b>36-3</b>
	AGENCY, BOARD OR COMMISSION <b>HISTORICAL SOCIETY</b>
	DIVISION, BUREAU OR OTHER UNIT <b>LIBRARY/ARCHIVES DIVISION</b>
Supersedes Edition of June 30, 1992	

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE 	
TITLE 	DATE 

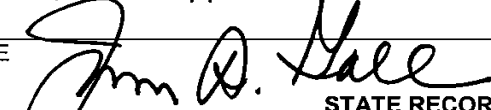
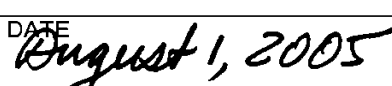
**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE 	DATE 
STATE ARCHIVIST	

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE 	DATE 
STATE RECORDS ADMINISTRATOR	

RMA 01005D

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 36-3 – HISTORICAL SOCIETY – LIBRARY ARCHIVES DIVISION**

### **36-3-1    STATE ARCHIVES**

#### **36-3-1-1    AGENCY FILES**

There is a file for each agency which has transferred records to the state archives. The file contains copies of Transfer of Records to the State Archives forms, Applications for Authority for Records Action forms, security microfilm inspection letters, Microfilm Project Registration forms, correspondence, agreements, inventories, and other documents relating to the records from the agency.

**DUPLICATE FORMS: Dispose of when superseded or obsolete.**

**ORIGINAL RECORDS: Retain permanently.**

#### **36-3-1-2    LOAN RECORD**

Official form used to document the loan of records to a state or local agency.

**Dispose of 5 years after records are returned.**

#### **36-3-1-3    LOCAL HISTORICAL ORGANIZATIONS FILES**

File contains information about permanent loans of public records to local historical organizations under a custodial arrangement. The file includes the original Application for Transfer of Public Records to Local Repositories and correspondence.

**Retain permanently.**

### **36-3-2    REFERENCE SERVICES (FORMERLY PATRON SERVICES)**

#### **36-3-2-1    RESEARCHER REGISTRATION FORMS**

Register of all reference patrons using the collections of this division, including microfilm, library books, photographs, and manuscript and public records collections. The form is also used to indicate that the patron has read and understands the society's regulations concerning the use of its collections.

**Dispose of after 3 years, provided statistical information is included in ANNUAL REPORT.**

#### **36-3-2-2    CHARGE OUT CARDS (FORMERLY COLLECTION CHARGE OUT CARDS)**

Forms used by the patron to request library books, manuscript and public records, maps, and other materials for use in the reading rooms or through interlibrary loan.

**Dispose of 3 years after material is returned.**

#### **36-3-2-3    PHOTOCOPY REQUEST FORMS**

Forms that the patron fills out to request photocopies of documents from a collection.

**Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

#### **36-3-2-4 MEDIA SERVICES FORMS (FORMERLY ORDER FORMS)**

Order forms used in accepting and filling orders for duplicate copies of audio/visual material and photographs.

**Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

#### **36-3-2-5 PERMISSION AND USE FORMS**

Forms that the patrons fill out and sign agreeing to conditions the Society has placed on the patrons use of copies purchased from the Society's photograph collection.

**ORIGINAL RECORD: Retain permanently and/or microfilm and destroy originals.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

#### **36-3-2-6 INTERLIBRARY LOAN FORMS**

Requests for microfilm copies of records, manuscripts, or books to or from other institutions.

**FILLED ORDERS: Dispose of 3 years after material is returned.**

**UNFILLED ORDERS: Immediately dispose of form.**

#### **36-3-2-7 COLLECTION INVENTORIES (OBSOLETE 1999)**

Duplicate copies of inventories to photographs, maps, newspaper, manuscripts, moving image, sound recording, and public records collections which are maintained in the reading rooms for public use.

**Obsolete records are discarded or filed in 36-3-6-1.**

### **36-3-3 LIBRARY**

#### **36-3-3-1 BOOK LISTS**

List of books cataloged each month.

**ORIGINAL RECORD: Retain permanently and/or microfilm and destroy originals.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

#### **36-3-3-2 BOOK AND PERIODICAL ORDER FORMS**

Copies of order forms for books and periodicals the division has purchased.

**Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

#### **36-3-3-3 SHELF LIST**

Card index listing all holdings of the library collection. Sometimes includes cost and date of acquisition.

**ORIGINAL RECORD: Retain permanently, may be microfilmed for security.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

## **36-3-4     CONSERVATION TREATMENT RECORDS**

### **36-3-4-1    HYGROTHERMOGRAPH CHARTS**

These charts show a history of temperature and humidity levels in selected areas of the institution.

**Dispose of when superseded or obsolete.**

### **36-3-4-2    TREATMENT REPORT FORMS**

These forms provide a record of preservation activities taken with an item or a collection. Sometimes the forms refer to photo documentation; these ancillary files can be color slides, black and white negatives or contact prints.

**Retain permanently.**

### **36-3-4-3    CONSERVATION SURVEY CARDS**

These files are the data gathered during the 1979-80 inspection of the division's manuscript and public record holdings.

**Retain permanently.**

### **36-3-4-4    ARCHIVAL SUPPLY VENDOR FILES (OBSOLETE 1999)**

Files provide a history of conservation and storage supplies which have been ordered, with explanatory details about the products the division has chosen to use.

**Immediately dispose of obsolete items.**

## **36-3-5     MICROFILMING (FORMERLY MICROFILM SECTION)**

### **36-3-5-1    MICROFILM COMPLETED FORMS (WORK SHEETS)**

This form is used for newspapers on microfilm and for manuscript and public records collections that have been microfilmed and are being added to the microfilm reading room. It provides date, name of material, control (lab) number, reel number, and date the master is proofed.

**Retain permanently.**

### **36-3-5-2    MICROFILM PROJECTS PROCESS SHEET**

This form is used for all newspapers microfilmed by the society. It provides the dates, title, location and publisher of the newspapers. Also included are notations about issues borrowed from individuals and organizations.

**Retain permanently.**

### **36-3-5-3    CONTROL (LAB) NUMBER FILE**

This file lists the control numbers of all microfilm produced by or for the society and identifies what records or collections are on each roll of film. The file is stored on computer.

**PAPER RECORD: Print out information; retain permanently.**

**ELECTRONIC RECORD: Backup weekly; retain permanently.**

**SECURITY BACKUP COPY: Dispose of after 1 month.**

#### **36-3-5-4 MICROFILM OPERATOR'S CERTIFICATES**

This file is used for public records only. It contains the Microfilm Project number, roll number, operator's name, title of collection, beginning and ending information for roll being filmed, number of exposures, name of staff member who inspected the master and the date it was inspected.

**Dispose of when superseded or obsolete.**

### **36-3-6 MANUSCRIPTS, PHOTOGRAPHS, MOVING IMAGES AND SOUND RECORDINGS**

#### **36-3-6-1 COLLECTION FILES**

This file contains information about each collection, including donor information, applicable restrictions, copyright information, conservation needs assessments, correspondence, and inventories.

**Retain permanently.**

### **36-3-7 GENERAL RECORDS**

#### **36-3-7-1 ACQUISITION FILE**

File of donations to the library, photograph, manuscript and audio/visual collections. Includes the original copy of the instrument of acquisition, description of items, and correspondence.

**ORIGINAL RECORD: Retain permanently, or microfilm and destroy originals.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

#### **36-3-7-2 OLD AND REVISED FINDING AIDS (FORMERLY OLD AND REVISED INVENTORIES AND INDICES)**

These are original inventories and other forms of finding aids to collections which have had new materials added to them and/or which have had new inventories produced. They may be a typed or handwritten listing, a computer text file or database, or a card index.

Transfer under 36-3-7-1.

**ORIGINAL RECORDS: Retain permanently, transfer to 36-3-6-1.**

**ALL OTHER RECORDS: Dispose of when the collection is removed from the Division's holdings, provided audit has been completed.<sup>1</sup>**

#### **36-3-7-3 LOAN FILES**

Listing of collection items loaned to institutions. File under #36-3-6-1. (Collection Files)

**Dispose of 1 year following the end of the fiscal year to which the records pertains, provided audit has been completed.<sup>1</sup>**

**36-3-7-4 TIME SHEETS (YELLOW DUPLICATE COPY)**

Reference Division's copy of employee time sheets.

**Dispose of after 1 year, provided audit has been completed.<sup>1</sup>**

**36-3-7-5 LEAVE REQUESTS (YELLOW DUPLICATE COPY)**

Reference Division's copies of employee leave requests.

**Dispose of after 1 year, provided audit has been completed.<sup>1</sup>**

**36-3-7-6 INVOICES (DUPLICATE COPY)**

Includes requests for invoice.

**Dispose of after 1 year, provided audit has been completed.<sup>1</sup>**

**36-3-7-7 BROCHURES, CATALOGS, AND BULLETINS**

These are reference guides, announcements of events such as film series or workshops, price lists, policy statements for public use, subject catalogs to collections, or a guide to current holdings, etc.

**PAPER RECORDS NOT ON MICROFILM:** Transfer 4 copies to the Nebraska Library Commission Publications Clearinghouse; transfer 2 copies to the State Archives; retain permanently. Dispose of extra copies when no longer of reference value.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Transfer 4 copies to the Nebraska Library Commission Publications Clearinghouse; retain other copies permanently.

**36-3-7-8 PROSPECTIVE DONOR FORM FOR RETURNED DONATIONS**

Includes Receipt for Prospective Donation and correspondence.

**Retain permanently.**

**36-3-7-9 COLLECTIONS DISPOSITION FORMS**

Form used to document the disposition of collections or parts of collections that are transferred to another collection, another division or organization, or removed from collections.

**ORIGINAL RECORD:** Retain permanently, or microfilm and destroy originals.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

## **36-3-8     DIGITAL LAB RECORDS**

### **36-3-8-1     METADATA**

Technical and administrative metadata related to digital scans, video and audio files. In electronic form.

**ELECTRONIC RECORD:** Backup weekly; convert to microfilm after 10 years; retain permanently.

**SECURITY BACKUP COPY:** Dispose of after 1 month.

**SECURITY MICROFILM:** Transfer to the State Archives; retain permanently.

**MICROFILM WORK COPY:** Retain permanently.

## **TRANSFERRED RECORDS**

**36-3-3-1     PHOTOGRAPH LOAN FILE transferred to #36-3-6-1 COLLECTION FILES**

**36-3-3-2     INDEX TO PHOTOGRAPHS transferred to #36-3-6-1 COLLECTION FILES**

## **DELETED RECORDS**

**36-3-4-3     ACCESSION RECORDS (OBSOLETE 1968)**

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### **NOTE**

*1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet